



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: M. YOSHIDA, et al.  
Application No.: 10/042,271  
Filed: January 11, 2002  
For: ABRASIVE, METHOD OF POLISHING TARGET  
MEMBER AND PROCESS FOR PRODUCING  
SEMICONDUCTOR DEVICE  
Group: 3723  
Examiner: S. L. McDonald

**SUBMISSION UNDER 37 C.F.R. §1.114****(INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97 AND §1.98)**

Mail Stop: RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

July 6, 2005

Sir:

Pursuant to Applicants' duty of disclosure, and concurrently with the filing of a Request for Continued Examination (RCE) Transmittal and as the necessary Submission therefor, enclosed please find copies of documents to be considered by the Examiner during further examination of the above-identified application. Also enclosed is a Form PTO/SB/08A. This Form lists the enclosed documents, and additionally lists documents cited by the Examiner in the Office Action mailed February 27, 2001, in prior Application No. 09/581,814, that have not already been cited in the above-identified application.

Since Application No. 09/581,814 is being relied upon under 35 USC §120 in the above-identified application, copies of listed documents previously cited in No. 09/581,814 are not enclosed. These documents cited in connection with prior

Application No. 09/581,814, and listed on the enclosed Form, but whose copies are not enclosed herewith, are the following U.S. Patents:

- (1) No. 5,264,010;
- (2) No. 5,804,513;
- (3) No. 5,891,205; and
- (4) No. 5,997,620.

Please note that Japanese Patent Document No. JP 7-81932 has previously been cited in the above-identified application, in the Information Disclosure Statement submitted January 11, 2002, upon originally filing the above-identified application. However, as a machine English translation obtained at the JPO website is enclosed, No. 7-81932 is also set forth on the enclosed Form.

Also enclosed herewith is a copy of U.S. Patent No. 5,026,421. No. 5,026,421 corresponds to Japanese Patent Document No. 1-266183, listed on the International Search Report for International (PCT) Application No. PCT/AP98/05736, of which the prior application of the above-identified application, No. 09/581,814, is a national stage application filed under 35 USC §371.

Of the enclosed documents listed on the enclosed Form, U.S. Patent No. 4,475,981 corresponds to Japanese Patent Document No. 60-108489 and is a corresponding English equivalent thereto, and International (PCT) Application No. WO 93/22103 corresponds to Japanese Patent Document No. 7-502778 and is a corresponding English equivalent thereto. Moreover, International (PCT) Application No. WO 01/13417 has a publication date after the filing date of the International application for the parent application of the above-identified application.

The following comments are appropriate concerning various of the enclosed documents. Japanese Patent Document No. JP 7-81932 discloses particles with grain boundaries. While grain boundaries are not expressly described, the

experimental data in paragraph [0011], that is, powder 22, would appear to have grain boundaries. The powder 22 has mean particle diameter of  $2.0 \pm 0.2$  micrometers. The particles are used for measuring color of cerium particles, not for a slurry. U.S. Patent No. 6,120,571 does not disclose particulate grain boundaries. U.S. Patent No. 5,543,126 discloses pulverizing ceric oxide particulate, but does not disclose a particle size after pulverizing.

This Information Disclosure Statement is being submitted concurrently with the filing of a RCE Transmittal in the above-identified application. Clearly, requirements of 37 CFR §1.97(b) are satisfied.

To the extent that documents listed on the enclosed Form are not in English, it is respectfully submitted that requirements of 37 CFR §1.97(a)(3) are satisfied by the machine translation thereof and/or corresponding English language documents, also enclosed herewith.

In view of the foregoing, and again noting the concurrently filed RCE Transmittal, it is respectfully submitted that all applicable requirements of 37 CFR §1.97 and §1.98 have been satisfied, in connection with each of the documents listed on the enclosed Form. Accordingly, consideration of the listed documents, upon further examination of the above-identified application, is respectfully requested.

Applicants request any shortage or excess in fees in connection with the filing of this paper, including extension of time fees, and for which no other form of payment is offered, be charged or credited to Deposit Account No. 01-2135 (Case:566.38683CX1).

Respectfully submitted,

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Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/042,271
				Filing Date	1/11/2002
				First Named Inventor	M. YOSHIDA
				Art Unit	3723
				Examiner Name	S.L. McDonald
(use as many sheets as necessary)					
Sheet	1	of	1	Attorney Docket Number	566.38683CX1

O I P E  
JUL 06 2005  
PATENT & TRADEMARK OFFICE

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENT						
Examiner Initials'	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T- <sup>8</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		WO 01/13417 A1	10-29-1999			
		JP 60-108489	06-13-1985			
		JP 07-502778	03-23-1995			
		WO 93/22103	11-11-1993			
		JP 07-81932	03-1995			MT

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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